



PATENT APPLICATION  
Docket No. 6647-017  
IDR-451

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor(s): Stephen R. CARTER and Delos C. JENSEN

Serial No.: 09/654,660

Examiner:

Arrienne M. LEZAK

Filed: 9/05/2000

Group Art Unit:

2143

Title: **POLICY ENFORCEMENT USING THE SEMANTIC CHARACTERIZATION  
OF TRAFFIC**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Enclosed for filing in the above-referenced application are the following:

- ☒ Transmittal Letter (in duplicate)
- ☐ Copy of Notice to File Missing Parts
- ☐ Applicant claims small entity status (see 37 CFR 1.27)
- ☐ [Publication and] Issue Fee
- ☐ Formal Drawings                      sheet(s)
- ☐ Assignment and Cover
- ☒ (Supplemental) Information Disclosure Statement
- ☒ PTO Form 1449                      ☒ Publication references cited
- ☐ Combined Declaration and Power of Attorney
- ☐ Declaration
- ☐ Power of Attorney
- ☐ Surcharge for Late Filing of Fee or Oath or Declaration
- ☐ \$65 - Small Entity                      ☐ \$130 - Large Entity
- ☐ In connection with issuance of a patent:
- ☐ Supplemental Declaration                      ☐ PTO Form 85B
- ☒ PTO Form 2038 authorizing credit card payment for the above-listed fees
- ☐ A check in the amount of \$                      to cover the above-listed fees.
- ☒ Any deficiency or overpayment should be charged or credited to deposit account number 13-1703.

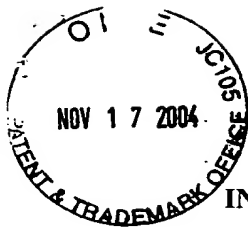
Respectfully Submitted,  
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Date: November 15, 2004

*Jeanne Bower*  
Jeanne Bower



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Attorney Docket No. 6647-017  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.97 (b); or  
(Within three months of filing national application; or date of entry of International application; or before mailing date of first office action on the merits; whichever occurs last)

☒ under 37 CFR 1.97 (c) together with either a:  
☐ Statement under 37 CFR 1.97 (e), or  
☒ a \$180 fee under 37 CFR 1.17 (p); or  
(After mailing of first Office Action, but prior to Notice of Allowance or Final Office Action)

☐ under 37 CFR 1.97 (d) together with:  
☐ Statement under 37 CFR 1.97 (e), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17 (p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO 1449 Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

It is requested that the information disclosed herein be made of record in this application.

Any deficiency or overpayment should be charged or credited to deposit account number 13-1703.

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Respectfully Submitted,  
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I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313.  
Date: November 11, 2004

Jeanne Bower

Inventor(s): Stephen R. CARTER and Delos C. JENSEN

Serial No.: 09/654,660

Examiner:

Arrienne M. LEZAK

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For: **POLICY ENFORCEMENT USING THE SEMANTIC CHARACTERIZATION  
OF TRAFFIC****INFORMATION DISCLOSURE STATEMENT**  
**PTO-1449****U.S. PATENT DOCUMENTS**

<b><u>Exam Init</u></b>	<b><u>Ref</u></b>	<b><u>Document Number</u></b>	<b><u>Issue Date</u></b>	<b><u>Name</u></b>	<b><u>Class</u></b>	<b><u>Sub Class</u></b>
		5,276,677	1/04/94	Ramamurthy et al.	370	60
		5,317,507	5/31/94	Gallant	364	419.13
		5,325,298	6/28/94	Gallant	364	419.19
		5,539,841	7/23/96	Huttenlocher et al.	382	218
		5,551,049	8/27/96	Kaplan et al.	707	532
		5,619,709	4/08/97	Caid et al.	395	794
		5,675,819	10/07/97	Schuetze	704	10
		5,694,523	12/02/97	Wical	395	12
		5,696,962	12/09/97	Kupiec	395	604
		5,708,825	1/13/98	Sotomayor	395	762
		5,721,897	2/24/98	Rubinstein	707	2
		5,778,362	7/07/98	Deerwester	707	5
		5,778,378	7/07/98	Rubin	707	103
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		5,794,178	8/11/98	Caid et al.	704	9
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		5,867,799	2/02/99	Lang et al.	707	1
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		6,289,353	9/11/01	Hazelhurst et al.	707	102
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		6,459,809	10/01/02	Jensen et al.	382	203
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		6,675,159	1/06/04	Lin et al.	707	3

#### **FOREIGN PATENT DOCUMENTS**

<b><u>Exam Init</u></b>	<b><u>Ref</u></b>	<b><u>Document Number</u></b>	<b><u>Publication Date</u></b>	<b><u>Country</u></b>	<b><u>Name</u></b>

#### **OTHER DOCUMENTS**

<b><u>Exam Init</u></b>	<b><u>Ref</u></b>	<b><u>Author, Title, Date, Pertinent Pages, Etc.)</u></b>
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		Chomsky, "Language and Thought," 1993, pgs. 18-19, 22-27, 44-45, 60-61.
		Chomsky, "The Minimalist Program," 1995, pgs. 13-65.
		Cook et al., "Chomsky's Universal Grammar – An Introduction," 1988, pgs. 40-74, 131-272.
		Culler, "Ferdinand de Saussure – Revised Edition," 1986 pgs. 38-57
		Eco et al., "Meaning and Mental Representations," 1988, pg. 221.
		Eco, "Semiotics and the Philosophy of Language," 1984, pg. 46-86.
		Edwards, "Functional Analysis; theory and applications," 1965, pgs. 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233.
		Halmos, "Naïve Set Theory," Undergraduate Texts in Mathematics, 1968, pgs. 56-57, 66-69.
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		Lundquist et al., "Improving Relevance Feedback in the Vector Space Model," 1997, pgs 16-23.
		Mostafa et al., "A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation," <i>ACM Transactions on Information Systems</i> , Vol. 15, No. 4, 10/97, pgs. 368-399.
		Pesetsky, "Zero Syntax: experiencers and cascades," 1995, pgs. 1-122.
		Pejtersen, "Semantic Information Retrieval," <i>Communications of the ACM</i> , Vol. 41, No. 5, 4/98, pgs. 90-92.
		"Platform for Internet Content Selection (PICS)," <a href="http://www.w3.org">http://www.w3.org</a> , pgs. 1-8.
		Singh, "Unifying Heterogeneous Information Models," <i>Tesserae Information Systems, Inc.</i> , <a href="http://citeseer.ist.psu.edu.com">http://citeseer.ist.psu.edu.com</a> , pgs. 1-13
		Smith, "Computers and human language," 1991, pgs. 205-257.
		"WordNet – a lexical database for the English language," <i>Cognitive Science Laboratory, Princeton University</i> , <a href="http://www.cogsci.princeton.edu">www.cogsci.princeton.edu</a> , 2 pgs.

Examiner: \_\_\_\_\_

Date Considered: \_\_\_\_\_